

St Michael's Primary School
Risk Register January 2021

Vision	At St Michael's Primary School we believe in the uniqueness and potential of each individual. We aim to be a safe, happy learning community which cares for each other, and the world in which we live.
Key Objectives of St Michael's School	<ul style="list-style-type: none"> • To provide a high standard of education to pupils at the school • To prepare pupils to be active and positive members of society • To fulfil the requirements of the school's Church of England foundation

Principles

Our risk register is a document which allows senior managers and governors, where relevant, to plan for, track, and monitor key risks and risk controls for the school. Risks are divided into the following categories:

- Strategic and reputational risks
- Operational risks (eg day-to-day running)
- Compliance risk (eg compliance with different legislation including tax; data protection; employee; safeguarding)
- Financial risks

I = Impact L = likelihood RR = Residual Risk

Risk area	Risk	I	L	Risk	Risk Controls	RR	Action needed if M/H	Owner
Strategic & Reputational	Failure of the school to recruit sufficient learners to make it viable Loss of pupils to nearby schools	9	2	18	Outward-looking approach Effective marketing; including high quality website Promotion of school within local community	L		HT Govs
	Failure to monitor and react accordingly to the requirement of our stakeholders (parents): Reputation suffers	5	2	10	Regular questionnaires Maintain effective partnership with parents Respond quickly to any concerns	L		HT
	Failure to maintain high standards Failure to meet key school objectives Poor Ofsted report	7	2	14	Continual school reviews External checks: SIP Challenge for Meta4 group HT	L		HT Govs
	Failure of the governors to provide effective strategic leadership <ul style="list-style-type: none"> • Poor delegation 	5	2	10	Continual review of governor structures and functions Strategic governor meetings	L		Govs

	<ul style="list-style-type: none"> Lack of challenge 				Effective minuting/clerking			
	Failure of the school SLT to provide effective strategic leadership	8	2	16	Monitoring reports to governors Effective analysis of school data	L		HT SLT
	Failure to assess and review the alliances and partnerships with other organisation <ul style="list-style-type: none"> Risk that an alliance or partnership is no longer appropriate; Risk to the integrity of the school 	3	1	3	Regular review by SLT and governors of all partnerships	L		SLT Govs

Risk Tolerance: Low

Early warning mechanisms/Key Risk Indicators: pupil numbers; Ofsted reports; parent feedback

Risk area	Risk	I	L	Risk	Risk Controls	RR	Action needed if M/H	Owner
Operational	Failure of the Governing Body to have procedures in place to cover the absence of the Head of the School or other members of SLT	7	2	14	Clear guidance of senior staff roles; Clear cover arrangements; Active Governing Body membership; Crisis Management Policy	M	Put crisis management policy in place	Govs HT
	Failure to ensure that the quality of Management Information produced by the school is of a high quality	5	2	10	Governing Body reports and minutes; Use of external advisor (SIP)	L		HT Govs SLT
	Failure to ensure that the Leaders of the school possess the skills and experience required to manage the school	7	2	14	Reports to Governors Appraisal process – governor overview of this External reports (SIP)	L		HT Govs
	Failure to recruit staff with the necessary skills and competence	5	2	10	Governor involvement in recruitment Robust process for appointment Effective support for new staff	L		HT Govs
	Failure to ensure income is collected in a timely/thorough fashion	5	2	10	Robust financial procedures Reports to HT/Govs	L		SBM HT
	Economic or natural disaster	10	2	20	Emergency Plan in place Disaster recovery plan in place Community School status	M	Ensure plans are reviewed regularly	SBM
	Failure to ensure that Goods and Services are purchased in line with financial regulations and that suppliers are paid in a timely and efficient manner	5	1	5	Monthly reports from the school; Financial Regulations awareness; Internal controls operated by the school; Effective internal and external audit	L		SBM

Risk Tolerance: Low

Early warning mechanisms/Key Risk Indicators: Inefficiency in the timeliness of reports for governors; teaching grades

Risk area	Risk	I	L	Risk	Risk Controls	RR	Action needed if M/H	Owner
Compliance	Failure of the school to comply with Health and Safety legislative requirements:	8	2	16	Risk assessment process; Health and Safety Policy; Support from external H&S Officer Annual audit Regular school audits	M	Ensure regular audits Ensure regular training for key staff	HT SBM
	Failure to comply with Food safety standards Failure to comply with kitchen safety standards	7	2	14	Standards regularly checked to ensure compliance External Audit (S Glos): currently 5* Ongoing safety checks/controls	M	Ensure kitchen manager has appropriate training and support Regular staff training: all staff to have accredited qualifications	HT KM Staff
	Failure to comply with employee legislation (eg disability/equal opps etc)	7	1	7	Support of school HR Department and the associated policies and procedures; Follow advice given	L		HT SBM
	Failure to comply with Data Protection Act and GDPR	5	1	5	Guidance from LA on Data Protection; GDPR Audit Relevant Impact Assessments Data Officer in place	L	Training in meeting terms of GDPR	HT SBM
	Failure to ensure that the school comply with environmental legislation	5	2	10	School to be aware of relevant environmental guidelines, eg over waste disposal	L		SBM
	Failure to ensure that the Financial Reporting requirements of the school are met	5	1	5	Monthly Management Accounts; Reports to SLT and the Governing Body; Budget monitoring; Awareness of Financial Regulations; Support of the LA Finance Department and associated policies and procedures; Effective Internal and External Audit; 3 year financial forecasts	L		HT SBM
	Failure to ensure that the school is compliant in relation to Safeguarding issues	6	2	12	Ensure suitable training of CP Officer and all staff Ensure policies are regularly updated and disseminated	L		CPO
	Ensure that the school is compliant with school legislation, eg Nat Curric	5	1	5	Staff awareness Staff training Cluster/network groups LA support	L		HT Staff

Risk Tolerance: Low

Early warning mechanisms/Key Risk Indicators: external reports from: H&S/ Schools' Finance/ HR

Risk area	Risk	I	L	Risk	Risk Controls	RR	Action needed if M/H	Owner
Financial	Failure of the school to produce open and regular accounts: <ul style="list-style-type: none"> Staff/resource costs too high Balances too high 	5	2	10	Monthly Management Accounts; Reports to SLT and Governing Body; Budget Monitoring; Awareness of Financial regulations; Effective Internal and External Audit	L		SLT Govs
	Failure of the school to have financial management systems that prevent fraud	5	2	10	Internal Controls; Regular and timely reconciliations; Robust Financial policies and procedures; Financial Regulations; Internal and External Audit	L		SBM HT
	Inadequate insurance cover for staff absence:	5	1	5	Review staff insurance cover annually	L		SBM
	Inadequate insurance cover for buildings/contents: financial risk	9	1	9	School buys into LA cover	L		SBM
	Failure to ensure that the school maintains overall financial control in relation to its budget: <ul style="list-style-type: none"> Risk of deficit budget 	8	1	8	Monthly Management Accounts; Budget Monitoring Reports; Reports to SMT and the Governing Body	L		SBM HT Fin Govs
	Failure to ensure that the school maintains overall financial control in relation to reconciliations: <ul style="list-style-type: none"> Risk of fraud/errors 	5	1	5	Strict month end and year end accounts timetable; Financial Regulations; Internal Controls; Internal and External Audit	L		SBM HT
	Failure to ensure that the financial systems of the school are maintained or suitable: <ul style="list-style-type: none"> Risk of financial loss/poor use of school resources 	5	1	5	Monthly Management Accounts; Budget Monitoring Reports; Reports to SMT and the Governing Body; Internal and External Audit	L		SBM HT Fin Govs
Failure to ensure that an adequate disaster recovery plan is in place in relation to the school's financial systems: <ul style="list-style-type: none"> Risk that financial information cannot be recovered in the event of a disaster eg fire, vandalism, theft; Financial/operational risk 	8	1	8	School Disaster Recovery Plan; Security systems operated by the school; Risk Assessment Policy and Procedures operated by the school; Off-site back-up storage and enhanced systems to recover information and data	L		SBM	

	Failure to ensure that general income due to the school is collected in a timely manner and recorded accurately	6	1	6	Monthly Management Accounts; Effective Credit Control operated by the school; Monthly Performance Monitoring Reports	L		SBM Office staff
	Failure to ensure that donations and income are not subject to fraud	6	1	6	Monthly Management Accounts produced by the school; Internal Controls of the school; Regular and timely reconciliations operated by the school; Robust Financial policies and procedures operated by the school; Financial Regulations of the school; Internal and External Audit;	L		SBM Office staff
	Failure to ensure that the Expenditure in the school is not controlled: Risk of fraud; unauthorised expenditure; best value not achieved: poor use of resources	6	1	6	Monthly Management Accounts; Reports to SMT and the Governing Body; Budget Monitoring; Awareness of Financial regulations; Effective Internal and External Audit;	L		SBM Office staff
	Failure to ensure that the school has a robust set of procedures in place with regard to stock control	5	1	5	Financial policies and procedures operated by the school; Financial regulations of the school; Internal and External Audit	L		SBM Office staff
	Failure to ensure that the funds of the school are not monitored closely	7	1	7	Monthly Management Accounts produced by the school; Internal Controls of the school; Regular and timely reconciliations operated by the school; Robust Financial policies and procedures operated by the school;	L		SBM Office staff
Risk Tolerance: Low								
Early warning mechanisms/Key Risk Indicators: audit reports (external/internal); budget monitoring shows unexpected budget issues								

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Date: January 2021 Review date: January 2023

